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| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>   |  | ATTORNEY'S DOCKET NUMBER<br><b>S001-P19</b>                        |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/GB2004/003330</b>   | INTERNATIONAL FILING DATE<br><b>02 AUG. 2004</b> | U.S. APPLICATION NO. If known, see 37 CFR 1.5)<br><b>107566846</b> |
| TITLE OF INVENTION<br><b>LD Pumped Fibre Amplifier with Second Resonator or Input Signal for Gain Limit</b>   |  |  |
| APPLICANT(S) FOR DO/EO/US<br><b>Mikhail Nicholaos ZERVAS et al.</b>   |  |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |  |
| <p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> </p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ul> </p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ul> </p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> |  |  |
| Items 11 to 20 below concern document(s) or information included:   |  |  |
| <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input checked="" type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p>   |  |  |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Page 1 of 3

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021

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|   |  |                                      |
|---|--|--------------------------------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>10/566846</b> | INTERNATIONAL APPLICATION NO.<br>PCT/GB2004/003330 | ATTORNEY'S DOCKET NUMBER<br>S001-P19 |
|---|--|--------------------------------------|

## 20. Other items or information:

- Return Receipt Postcard (2 ea)
- Certificate of Express Mailing
- Written Opinion of the ISA and Int'l Search Report

| The following fees have been submitted  |              |   | CALCULATIONS           | PTO USE ONLY |
|---|--------------|---|------------------------|--------------|
| 21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)).....   |              |   | \$ 300                 |              |
| 22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c))<br><br>If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). .... \$0<br>All other situations..... \$200  |              |   | \$ 200                 |              |
| 23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b))<br><br>If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). .... \$0<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100<br>International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400<br>All other situations..... \$500 |              |   | \$ 400                 |              |
| <b>TOTAL OF 21, 22 and 23 =</b>   |              |   | \$900                  |              |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof.   |              |   |                        |              |
| Total Sheets  | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE                   |              |
| - 100 =   | /50 =        |   | x \$250                | \$ 0         |
| Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).   |              |   | \$ 0                   |              |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA  | RATE                   | \$           |
| Total claims  | 31 - 20 =    | 11  | x \$ 50                | \$ 550       |
| Independent claims  | 1 - 3 =      | 0   | x \$200                | \$ 0         |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |   | + \$360                | \$ 0         |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |   | \$ 1450                |              |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.  |              |   | (\$725)                |              |
| <b>SUBTOTAL =</b>   |              |   | \$ 725                 |              |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).   |              |   | + \$ 0                 |              |
| <b>TOTAL NATIONAL FEE =</b>   |              |   | \$ 725                 |              |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |              |   | + \$ 0                 |              |
| <b>TOTAL FEES ENCLOSED =</b>  |              |   | \$ 725                 |              |
|   |              |   | Amount to be refunded: | \$           |
|   |              |   | Amount to be charged   | \$           |

10/566846  
IAP9 Rec'd PCT/PTO 01 FEB 2006

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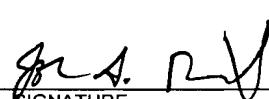
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- a.  A check in the amount of \$ 725 to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. \_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.**

SEND ALL CORRESPONDENCE TO:

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Fax: (509) 532-0351

  
\_\_\_\_\_  
SIGNATURE

John S. Reid  
\_\_\_\_\_  
NAME

36,369  
\_\_\_\_\_  
REGISTRATION NUMBER

01 FEB. 2006

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

INVENTORSHIP ..... ZERVAS, Mikhail, Nicholaos et al.  
U.S. SERIAL NO.....n/a  
PCT APPLICATION NO. .... PCT/GB2004/003330  
INTERNATIONAL FILING DATE..... 02 AUG 2004  
ART UNIT ..... n/a  
ATTORNEY DOCKET NO. .... SO01-P19  
TITLE: **LD PUMPED FIBRE AMPLIFIER WITH SECOND RESONATOR OR  
INPUT SIGNAL FOR GAIN LIMITATION**

**CERTIFICATE OF EXPRESS MAILING**

I hereby declare that I have deposited the below-listed papers with the United States Postal Service "Express Mail Post Office to Addressee" service, addressed and posted as indicated below, in compliance with 37 CFR 1.10. The Express Mail label No. has been placed on one or more of the papers listed.

Express Mail Number: ED 814360080 US  
Date of Deposit: February 01, 2006  
Deposited By:  Delivery to Postal Employee  
 Placed in Drop Box  
Addressee: Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

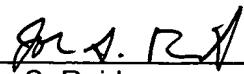
**Listing Of Items Enclosed In Mailing:**

1. Return Receipt Postcard (2 ea)
2. Check for \$725.00
3. Transmittal Letter to the DO/EO/US Concerning Submission under 35 USC 371 (3 pages)
4. Certificate of Express Mailing (1 page)
5. Preliminary Amendment (9 pages)
6. Declaration of Joint Inventors (.1 page )
7. Specification (28 pages, including cover sheet and claims 1-31)
8. Drawings (12 sheets, Figs. 1-26)
9. Copy of PCT publication WO 2005/013445 A1, corresponding to PCT/GB2004/003330
10. Information Disclosure Statement, including USPTO Form 1449 and copies of cited references
11. Copy of International Search Report and Written Opinion of ISA

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statement may jeopardize the validity of the application or any patent issued therefrom.

Dated this 1st day of February, 2006.

Dated at Spokane, Washington

  
John S. Reid